



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Volker HARLE *et al.*

Art Unit: 2811

Serial No.: 09/913,394

Examiner: To be assigned

Filing Date: February 5, 2002

Docket No.: P1999,0003USN

For: Optical Semiconductor Device with  
Multiple Quantum Well Structure

Client No.: Epp.024

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
United States Patent & Trademark Office  
Washington DC 20231

COPY OF PAPERS  
ORIGINALLY FILED

**REQUEST FOR CORRECTED FILING RECEIPT**

Dear Sir or Madam:

Via Air Mail, Pages 7

Applicants hereby request that a corrected Filing Receipt be issued in the above-identified patent application. The official Filing Receipt received by Applicants, a copy of which is attached hereto, has the following inaccuracies appearing thereon as indicated by quotation marks and herein requested corrections for which are indicated by double dashes. Please change the *Applicants*:

"Hans-Jurgen Lugauer, Werzenbach, GERMANY" to --Hans-Jurgen Lugauer,  
**Wenzenbach**, GERMANY--; and

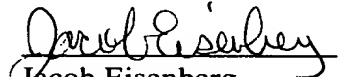
"Stefan Bader, Deutschland, GERMANY" to --Stefan Bader, Regensburg, GERMANY--.

The Patent and Trademark Office is invited to contact the undersigned for any reason which would expedite the handling of this matter. In the event that the Patent and Trademark Office determines that an extension and/or other relief is required, Applicants petition for any required relief including extensions of time and authorize the Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No.: 501871** referencing docket no.:

P1999,0003USN. However, the Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Date: 23 April, 2002  
EPPING, HERMANN & FISCHER  
Ridlerstrasse 55  
D-80339, München, Germany  
(Tel.) +49 89 500-3290  
(Fax) +49 89 500-32999  
Customer Number: 000026461

Respectfully submitted,

  
Jacob Eisenberg  
Registration No. 43,410

**Enclosures:** Official Filing Receipt (copy),  
transmittal form (original), and  
stamped return post card (copy),



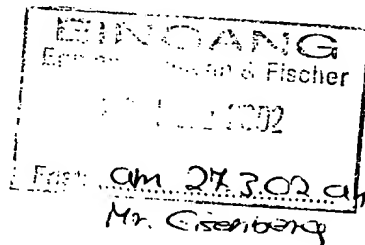
UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/913,394	02/05/2002	2811	1210	P1999,0003USN	3	25	1

026461

EPPING, HERMANN & FISCHER  
RIDLERSTRASSE 55  
MUNCHEN, BAVARIA, D-80339  
GERMANY



## FILING RECEIPT



\*OC000000007517607\*

CONFIRMATION NO. 8326

Date Mailed: 03/04/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Volker Harle, Laaber, GERMANY;  
Berthold Hahn, Hemau, GERMANY;  
Hans-Jurgen Lugauer, Werzenbach, GERMANY;  
Helmut Bolay, Pettendorf, GERMANY;  
Stefan Bader, Deutschland, GERMANY;  
Dominik Eisert, Regensburg, GERMANY;  
Uwe Strauss, Bad Abbach, GERMANY;  
Johannes Volkl, Erlangen, GERMANY;  
Ulrich Zehnder, Regensburg, GERMANY;  
Alfred Lell, Maxhutte-Haidhof, GERMANY;  
Andreas Weimer, Regensburg, GERMANY;

COPY OF PAPERS  
ORIGINALLY FILED

## Domestic Priority data as claimed by applicant

THIS APPLICATION IS A 371 OF PCT/DE00/04089 11/20/2000

## Foreign Applications

GERMANY 199 55 747.0 11/19/1999

Projected Publication Date: Not Applicable, filed prior to November 29, 2000

Non-Publication Request: No

Early Publication Request: No

**Title**

Optical semiconductor device comprising a multiple quantum well structure

**Preliminary Class**

257

---

**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

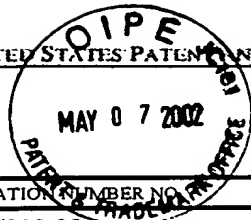
The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



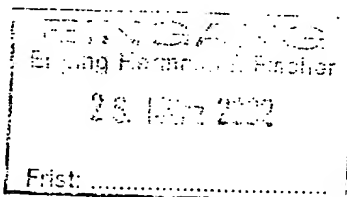
UNITED STATES PATENT AND TRADEMARK OFFICE



Commissioner for Patents, Box PCT  
 United States Patent and Trademark Office  
 Washington, D.C. 20231  
 www.uspto.gov

U.S. APPLICATION NUMBER NO. 09/913,394	FIRST NAMED APPLICANT Volker Harle	ATTY. DOCKET NO. P1999,0003USN
---	---------------------------------------	-----------------------------------

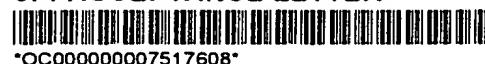
026461  
 EPPING, HERMANN & FISCHER  
 RIDLERSTRASSE 55  
 MUNCHEN, BAVARIA, D-80339  
 GERMANY



COPY OF PAPERS  
 ORIGINALLY FILED

INTERNATIONAL APPLICATION NO. PCT/DE00/04089	
I.A. FILING DATE 11/20/2000	PRIORITY DATE 11/19/1999

CONFIRMATION NO. 8326  
 371 ACCEPTANCE LETTER



\*OC000000007517608\*

Date Mailed: 03/04/2002

## NOTICE OF ACCEPTANCE OF APPLICATION UNDER 35 U.S.C 371 AND 37 CFR 1.494 OR 1.495

The applicant is hereby advised that the United States Patent and Trademark Office in its capacity as an Elected Office (37 CFR 1.495), has determined that the above identified international application has met the requirements of 35 U.S.C. 371, and is ACCEPTED for national patentability examination in the United States Patent and Trademark Office.

The United States Application Number assigned to the application is shown above and the relevant dates are:

<u>02/05/2002</u>	<u>02/05/2002</u>
DATE OF RECEIPT OF 35 U.S.C. 371(c)(1), (c)(2) and (c)(4) REQUIREMENTS	DATE OF RECEIPT OF ALL 35 U.S.C. REQUIREMENTS

A Filing Receipt (PTO-103X) will be issued for the present application in due course. **THE DATE APPEARING ON THE FILING RECEIPT AS THE " FILING DATE" IS THE DATE ON WHICH THE LAST OF THE 35 U.S.C. 371 REQUIREMENTS HAS BEEN RECEIVED IN THE OFFICE. THIS DATE IS SHOWN ABOVE.** The filing date of the above identified application is the international filing date of the international application (Article 11(3) and 35 U.S.C. 363). Once the Filing Receipt has been received, send all correspondence to the Group Art Unit designated thereon.

The following items have been received:

- U.S. Basic National Fee
- Copy of references cited in ISR
- Copy of the International Application
- Copy of the International Search Report
- Oath or Declaration
- Preliminary Amendments

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

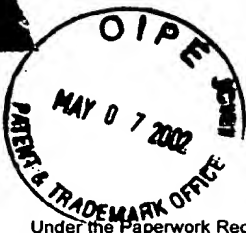
---

BARBARA A CAMPBELL

Telephone: (703) 305-3631

PART 1 - ATTORNEY/APPLICANT COPY

FORM PCT/DO/EO/903 (371 Acceptance Notice)



2421

COPY OF PAPERS  
ORIGINALLY FILED

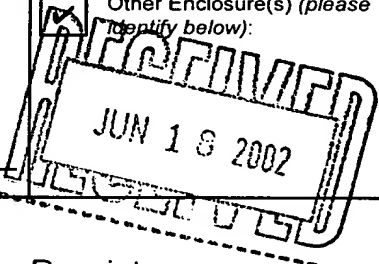
JUN 02 2002 PCT/PTO 07 MAY 2002  
PCT


PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>	<b>Application Number</b>	09/913,394	
	<b>Filing Date</b>	02/05/2002	
	<b>First Named Inventor</b>	Volker Harle	
	<b>Group Art Unit</b>	2811	
	<b>Examiner Name</b>	To be assigned	
<b>Total Number of Pages in This Submission</b>	7	<b>Attorney Docket Number</b>	P1999,0003USN

<b>ENCLOSURES (check all that apply)</b>		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Response to Missing Parts/ Incomplete Application  <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): 
<b>Remarks</b>		
Request for Corrected Filing Receipt, Official Filing Receipt, and Return Card		

<b>SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT</b>	
<b>Firm or Individual name</b>	Epping, Hermann & Fischer, Attn: Jacob Eisenberg Customer Number 26461
<b>Signature</b>	
<b>Date</b>	23 April, 2002

<b>CERTIFICATE OF MAILING</b>			
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: <span style="border: 1px solid black; display: inline-block; width: 100px; height: 15px;"></span>			
<b>Typed or printed name</b>			
<b>Signature</b>		<b>Date</b>	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.